

Report 110-2

25X1A

Chief, SSS

Draft of

PROJECT ORIGINATION PROCEDURE

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Declass Review by NIMA / DoD

1.0 R&D PROJECT ORIGINATION PROCEDURE (POP)

Two significant steps must be taken before an effective management control system can be developed. The first step is to define the distinct project development phases and their milestones. The second step is to develop systematic procedures for achieving these milestones.

In this report we recommend a systematic procedure for enabling a distinct project to formally come into being. This quite naturally becomes the first milestone, and we call it project origination. This milestone occurs at the time of assigning a project number to a project as in the past. Later reports will recommend procedures for accomplishing the remaining project milestones which will eventually lead to a finished product conforming to desired objectives.

1.1 Need For a POP

A procedure is needed that will enable original project suggestions to be evaluated by management and acted upon by designated individuals, to determine whether the suggestions should eventually become projects, and to specify the development procedure. Information gathered during this phase would be very useful during later project phases if a project should originate from an original suggestion.

The procedures for project origination currently in use have evolved under the pressure of rapid growth of the R&D effort. They are informal and difficult to control. Furthermore, the informal procedures permit key decision points to shift within the organization, increasing the difficulty of control.

1.2 POP Decision Flow

In Figure 1, is drawn a decision chart which points out the individuals who are responsible for making decisions and the order in which these decisions are made. ~~The direction of flow is from left to right.~~

*It is
but we don't
need to say it*

An original idea for a project can be generated from one of four sources, ~~which is Step 1 of the Decision Chart~~. These sources are:

1. P&DS Personnel
2. ~~Area Project Contractor~~
3. ~~Unsolicited Proposal~~ *Potential Contractor making*
4. Operating Component

The originator of an idea fills out a standard Project Suggestion Form (PSF). ~~with the assistance (if needed) of the personnel listed at Step 2 of the Decision Chart~~. The procedure to be followed in filling out the standard form is:

1. Any P&DS person can assist any other P&DS person.
2. The project officer and contractor can assist the area project contractor.
3. The P&DS management staff/assistant fills out a standard form upon receiving an unsolicited proposal.
4. Any P&DS person can assist any operating component.

After the Project Suggestion Form (PSF) is completed, the Administrative Assistant must make out a PSRS (at this time he assigns a project suggestion title). The suggestion is then sent ~~on for initial screening~~ *preliminary evaluation* by an ~~appointed~~ evaluation committee chairman. The evaluation committee is a four man committee, which meets bi-weekly, consisting of the four P&DS branch chiefs. The committee chairman is appointed by the ~~chief of P&DS~~ *Assistant for Plans and Development*.

~~The intent of this preliminary (Proceed/Stop) screening is to identify the project suggestions which obviously will not be worthwhile pursuing further. These screened suggestions are brought to the attention of the assistant for P&DS for confirmation. If he concurs with the Stop decision, the suggestion is dropped, the completed forms are filed and the originator of the suggestion is notified of the Stop decision by a Project Suggestion Reply Memo (PSRM), written by the administrative assistant for P&DS. On the other hand, the assistant for P&DS can reverse the preliminary Stop decision and put the suggestion back into the system for a preliminary evaluation (Step 4). Both the Evaluation Committee~~

Chairman and Assistant for P&DS shall cause a memo recording the reasons for their actions to be written and attached to the Project Suggestion Form.

After the preliminary screening at Step 3, if the decision is to pursue the project suggestion further (Proceed) it is then brought to the Evaluation Committee for preliminary evaluation, which is Step 4 of Figure 1. If the committee recommends Stop then the rejected suggestion is brought to the attention of the Assistant for P&DS for confirmation where, ~~as described in the previous paragraph~~, he can concur with the Stop decision, ask the Administrative Assistant to file the forms and notify the originator of the suggestion about the Stop decision, or he can reverse the committee decision and put the suggestion back into the system for further investigation (Step 3). The committee decisions are based on a majority vote, ties being resolved by the Assistant for P&DS. Again, memos are caused to be written recording reasons for actions ^{and dissents} and attached to Project Suggestion Form.

If either the Evaluation Committee at the end of Step 2, or the Assistant for P&DS, upon reversing a Stop decision that occurs at Step 2 ~~or Step 4~~, decides that the project suggestion is worth pursuing further, a ^{branch} member of P&DS is delegated to carry out an initial investigation, which is Step 3 in the Decision Chart. The purpose of this investigation is to gather additional information that will be needed eventually to decide whether a project should originate from the project suggestion. In addition to a written record of the information obtained, the investigator gives to the investigation committee his recommended action of Proceed or Stop, which would be the end of Step 3. The investigation will include the gathering of any experimental work or data bearing on

1. The desirability of the improvement, i.e., whether the improvement will enable the Center more effectively to meet its mission.
2. The feasibility of the proposed method of achieving the improvement, i.e., the chances of success by the proposed method.

The investigation will be limited to gathering of existing data and experts' opinions and will not include any ^{new} experimental ^{work} ~~data~~.

At Step 4, The Evaluation Committee, fortified with information gathered by the investigator (including his recommended action), arrives at a Proceed or Stop recommendation by a majority vote, ties being resolved by the ~~Chief of P&DS~~. If a Proceed recommendation is made the committee also decides what should be done and ^{which branch} ~~who~~ should do it. The findings and actions of the evaluation ^{and dissenting opinions} ~~are~~ presented to the Assistant for P&DS for his decision. If a Stop decision is made, the forms are filed and the originator of the project suggestion is notified by the Administrative Assistant for P&DS by making out a PSRM. If a Proceed decision is made, ~~the Assistant for P&DS decides which branch will monitor the~~

~~envisioned contract and he chooses a project title.~~ The Administrative Assistant then assigns a project number and the project suggestion formally becomes a project. The originator of the project suggestion would then be notified by the Administrative Assistant by means of a PSRM. *The project file then goes to assigned branch with copy at least of PSF in history.*

It is very important to note that the committee method of making decisions at Steps 4 and 6 allows for formal dissent without intervention of the P&DS Chief. Also, terminal decisions of either Stop or Project Origination are reported to the original suggestor, so that he can be kept current with the status of the suggestion.

All time charged by all personnel during any of the Steps 1 - 9 of Figure 1 are treated as indirect. For bookkeeping purposes this charge would be described as time required to develop information for a Proceed or Stop project origination decision. After a suggestion becomes a project, charges can be handled on a direct basis. One number such as 997001 would serve for all Project Suggestion Time.

1.3 Timing and Control of The POP

In order to assure that all Project Suggestions will receive prompt attention, it is necessary to supply each decision maker with the relevant information he needs to make a decision and the deadlines for making these decisions. (It is very important that

the information needed for making a decision be identified well in advance of these deadlines so that time is not wasted gathering irrelevant information. To further assure that suggestions being processed will not encounter unnecessary delays, only exceptional (Stop) suggestions are brought to the attention of the Assistant for P&DS prior to his final Proceed or Stop decision at Step 8 in the Decision Chart. This would occur at either Step 3 or Step 4 in the Decision Chart.

We recommend the ^{USE} installation of a Project Suggestion Follow Sheet (PS&S) to keep track of deadlines for taking action on each project suggestion. When a standard Project Suggestion Form (PSF) is filled out it is given to the P&DS Administrative Assistant to start the PS&S (at which time the title is given to the project suggestion) before the form is given to the ~~Chairman of the~~ Evaluation Committee ~~for preliminary screening~~. The PS&S serves as a routing sheet and is updated from time to time as the project suggestion moves through the system. In Figure 2 we illustrate the timing and decision control chart, which is described more fully in the next paragraph.

Each person or committee, receiving the project suggestion material must review it, respond and send it on ^{at once} within two weeks, ~~as soon as possible~~. A copy of the PS&S is always sent to the Administrative Assistant for P&DS for purposes of keeping the Project Suggestion material moving. Whenever a two week deadline is not met by a respondent, ^{or earlier} a reminder is sent by the Administrative Assistant for P&DS. An additional two week delay by the same respondent is brought to the attention of his superior for action. In this fashion, the PS&S serves as a tickler to prevent unnecessary delays. The Administrative Assistant for P&DS, by keeping the tickler file continuously updated, always has a record of the current status of a project suggestion.

Figure 3 and 4 illustrate the recommended PSF and PS&S forms. The PSF form, it should be noted, is very easy to fill out and requires only a minimum of information. The PS&S form has a built in self-routing feature. Whenever a respondent answers an appropriate question, an arrow points out the next number to circle to determine the next routing.

CLASSIFICATION: _____

1. Project Suggestion Form (PSF): Date of Suggestion: ____ / ____ / ____
 - a. Upon completion of this form, route to Administrative Assistant for P&DS.
 - b. Use time charge #997001 when working on any project suggestion.
2. Name of Suggestor _____ Location _____
3. Brief Description of Suggestion (Use Reverse Side if Necessary):

4. Brief Explanation of Need For This Improvement:

Suggestor (Signature)

DO NOT WRITE IN THIS SPACE

Selected Project Suggestion Title: _____

CLASSIFICATION: _____

Project Suggestion Routing Sheet (PSRS):

- Find last circled number. Check appropriate square and/or fill in the appropriate blanks.
- Follow the appropriate arrow to determine next routing, and circle number
- Send a copy of this completed sheet to Administrative Ass't. for P&DS.
- Use charge #997001 when working on any project suggestion.

1. PSRS started by Administrative Ass't. for P&DS. Date Started / /

→ 2. To Evaluation Committee Chairman for ~~recommended~~ ^{Proceed/Stop} action.
 Date of Recommendation / /
☐ Proceed
☐ Stop

→ 3. To Ass't. for P&DS for ^{review} action. Date Action Taken / /
☐ Proceed ^{Disagree - Proceed}
☐ Stop ^{Agree - Stop}

→ 4. To Administrative Ass't. for P&DS to notify suggestor.
 Date Notified / /

→ 5. To Evaluation Committee for ^{Proceed/Stop} recommended action.
 Date of Recommendation / /
☐ Proceed
☐ Stop

→ 6. To Ass't. for P&DS for ^{review} action. Date Action Taken / /
☐ Proceed ^{Disagree - Proceed}
☐ Stop ^{Agree - Stop}

→ 7. To Administrative Ass't. for P&DS to notify suggestor.
 Date Notified / /

→ 8. To Evaluation Committee to assign branch.
 Date Branch Assigned / /
 Branch Assigned: (Specify) _____

→ 9. To branch to assign monitor. Date Monitor Assigned / /
 Monitor Assigned: (Specify) _____

→ 10. To Evaluation Committee for recommended action.
 Date of Recommendation / /
☐ Proceed
☐ Stop or Undecided

→ 11. To Ass't. for P&DS for final action. Date of Final Action / /
☐ Drop Suggestion
☐ Originate Project. Project Title _____

Chief of P&DS (Signature) _____

→ 12. To Administrative Ass't. for P&DS to assign project number and notify suggestor.
 Project Number
 Date Assigned / /

→ 13. To Administrative Ass't. for P&DS to notify suggestor.